

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

LEVANT MIGUEL BISHOP, )  
Petitioner, )  
-against- )  
DALTON KEN SECURITIES GROUP, INC., )  
Respondent. )  
)  
)  
)  
)  
)  
)  
No. 1:21-cv-8957 (PAC) (SLC)  
**JUDGMENT ON ARBITRAL  
AWARD AND CONFIRMATION  
OF AWARD**

Petitioner Levant M. Bishop (“Petitioner”), having filed and served on Respondent Dalton Kent Securities Group, Inc. (the “Respondent”), with his Petition to Confirm an Arbitral Award and Enter Judgment Thereon (the “Petition”), to which was attached, as Exhibit A, the Award of an arbitrator of FINRA Dispute Resolution Services (the “Award,” ECF No. 1-1) in the matter titled *Levant Miguel Bishop v. Dalton Kent Securities Group, Inc.*, FINRA Number 20-02404;

The arbitrator, having recommended in the Award that certain “occurrences” in the registration records maintained by the Financial Industry Regulatory Authority, commonly called FINRA, in its Central Registration Depository (“CRD”), pertaining to Petitioner shall be expunged from Petitioner’s CRD records (CRD #2665428), “Occurrences” Nos. 1010787,<sup>1</sup> 364592,<sup>2</sup> 364576,<sup>3</sup> 364584,<sup>4</sup> 364579,<sup>5</sup> and 364573,<sup>6</sup>

Respondent, having been served and having defaulted;

FINRA, having duly waived its right to be named as a party to this action, required under FINRA Rule 2080, pursuant to its letter dated October 1, 2021 (ECF No. 1-2); and

<sup>1</sup> Award, at p. 4, paragraph 2.

<sup>2</sup> Id, at p. 5, paragraph 3.

<sup>3</sup> Id, at p. 6, paragraph 4.

<sup>4</sup> Id. at p. 7, paragraph 5.

<sup>5</sup> Id., at p. 8, paragraph 6.

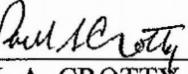
<sup>6</sup> *Id.*, at p. 9, paragraph 7.

This Court, being of competent jurisdiction in accordance with FINRA's Notice to Members 04-16, to order FINRA to expunge from Petitioner's CRD records (CRD #2665428) the Occurrences referenced in the Award, as the arbitrator recommended, and having reviewed the Petition and its accompanying documents;

**IT IS HEREBY ORDERED:**

1. The Petition is granted, the Award is confirmed, and this Judgment is entered on the Award.
2. In accordance with the Award and this Judgment, FINRA shall forthwith expunge from Petitioner's CRD records (CRD #2665428) any and all references to the following Occurrences: Nos. 1010787, 364592, 364576, 364584, 364579, and 364573.
3. This Order serves as the full and final disposition of this action.

**ENTERED:**

  
PAUL A. CROTTY, U.S.D.J.

June 27, 2022